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NASA Procedural Requirements

COMPLIANCE IS MANDATORY

NPR 3430.1B

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Subject: NASA Employee Performance Communication System (EPCS)

Responsible Office: Office of Human Capital Management

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CHAPTER 4. Basic Provisions

4.1 The Agencywide performance appraisal period will be from May 1 through April 30.

4.2 The Rating Official is responsible for establishing performance plans and appraising employees; however, the assignment of a performance summary rating of Distinguished or Fails to Meet Expectations must be reviewed and approved by a higher-level official (Reviewing Official). Approval by a higher-level official is not required for a performance summary rating of Meets or Exceeds Expectations.

4.3 The Rating Official must establish a written performance plan at the beginning of each appraisal period (normally within 30 days).

4.4 Performance plans may include both critical and noncritical elements; however, at least one element must be critical.

4.5 Performance plans for supervisory employees must include the performance elements and standards cascaded from the SES performance evaluation factors (Appendix A).

4.6 Performance plans for nonsupervisory employees must include the performance elements and standards cascaded from the supervisory performance elements and standards (Appendix B).

4.7 Each standard for supervisory and nonsupervisory employees must include a sufficient number of performance indicators to clearly communicate to the employee the performance expectations for that standard.

4.8 Team or organizational performance expectations can be established as a noncritical element.

4.9 The minimum period an employee must be under a performance plan before receiving a performance summary rating (rating of record) is 90 days.

4.10 The Rating Official must conduct a progress review with each employee at least once during the appraisal period (normally midpoint of the appraisal period). If at mid-point in the appraisal period an employee has been on a performance plan for less than 90 days, a midterm review may be conducted or delayed until such time in the appraisal period when a progress review would be more advantageous to the employee.

4.11 An employee shall be given a rating of record on an annual basis except in specific circumstances when it is not appropriate to do so. For example, an employee has been on a performance plan for less than the minimum appraisal period (90 days) at the end of the appraisal period; or an employee is on a Performance Improvement Plan (PIP) at the end of the appraisal period, and the opportunity to demonstrate acceptable performance as specified in the PIP has not elapsed.

4.12 An employee's performance for each performance element of his/her performance plan that the employee has had an opportunity to accomplish must be appraised as Significantly Exceeds Expectations, Meets or Exceeds Expectations, or Fails to Meet Expectations.

4.13 An employee's overall performance must be appraised at one of three summary levels (Pattern B)-- Fails to Meet Expectations (Level 1), Meets or Exceeds Expectations (Level 3), and Distinguished (Level 5) [5 CFR 430.208(d)].

4.14 An employee who receives a performance summary rating of Distinguished is eligible to be considered for all monetary performance awards and nonmonetary recognition. An employee who receives a performance summary rating of Meets or Exceeds Expectations must have received a Meets or Exceeds Expectations performance element rating for all rated elements (critical and noncritical) in order to be eligible to be considered for monetary awards and nonmonetary recognition based on performance.

4.15 Performance on one or more critical elements that Fails to Meet Expectations shall be the basis for an action to reassign the employee or initiate an adverse action (e.g., reduction in grade or removal) against the employee, but only after the employee has been given a period of time to improve. The minimum performance improvement period is 30 days.

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